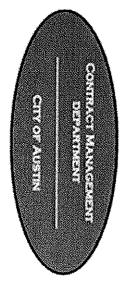
DIVISION CONTRACT MANAGEMENT

Consultant Information Session Rotation List Management



What is a Rotation List?

Group of consultants selected on the ot expertise professional services in a specified field basis of qualifications to provide

How consultants are selected

- Selection is based on a response to a general scope of services
- qualifications Responses are evaluated on experience and
- Selection based on "most highly qualified" firms
- List of recommended firms is presented to Council
- Council authorizes staff to negotiate and execute agreements with the recommended firms
- Firms contracted for a specific period of time
- Work assignments made by established methodology

Assignment Negotiation/ NTP Process

- assignment, via email and regular mail. All Subs listed on the Manager and an assignment letter is sent to the Consultant The **process for a new assignment** begins when an Assignment Request Form (ARF) is received from a Project Consultants Compliance Plan will be notified of the The Consultant will have 5 business days to accept or reject
- the assignment by signing/returning the original assignment letter to the RLM.
- scope of services and begin developing a scope and fee proposal Manager (listed in the assignment letter) to discuss the The Consultant is responsible for contacting the Project

Assignment Negotiation/ NTP Process continued

- days. The Project Manager can require an acceptable rejected negotiations stall and the assignment is in danger of being unless requested by the Project Manager or unless proposal in a shorter time frame if necessary. Typically the developing and negotiating the proposal in no more than 60 The Consultant and the project manager are responsible for RLM is not involved in the development of the proposal
- A Consultant can reject an assignment if they feel the work problems might exist, of if it's determined that it's in the requires special expertise they cannot provide, staffing City's best interest that the assignment be declined

Assignment Negotiation/ NTP Process continued

- their assignment for the current pass waiting for a bigger or better assignment), they will forteit If a Consultant declines an assignment for no cause (i.e.,
- good faith effort to negotiate an acceptable proposal or is pass for their next assignment. non-responsive, they will move to the bottom of the current If a Consultant accepts an assignment, but fails to make a
- assignment. actions of their own, the firm will be next in line to receive an lf a Consultant has an assignment withdrawn through no
- After a proposal is accepted by the Project Manager, an sign/date and return to the RLM Attachment 2 form is forwarded to the Consultant to

Assignment Negotiation/ NTP Process continued

- assigned, the RLM will sign the bottom portion of the and a Consultant Cover Sheet. to Proceed. The RLM will also prepare a Sub-K template Attachment 2, which converts the document into the **Notice** After the encumbrance process is completed and a DO# is
- assignment will be copied on this email. with instructions to proceed with the assigned work. The Project Manager and Sub-Consultants being utilized on the template, and the Consultant Cover Sheet to the Consultant The RLM will send the signed Notice to Proceed, SubK

Order of Assignments

- will be ranked as shown in the order of the evaluation matrix. The order of assignments on the FIRST pass
- sorted and ranked in order of each Consultants the first assignment for that pass. highest remaining authority – that being – the firm with highest remaining authority will be receiving The SECOND and subsequent passes will be

Order of Assignments - continued

					
5	4	3	2	J.	Assignment Order
[I]	D	С	В	A	Firm
\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	Authority
\$5,000	\$25,000	\$10,000	\$60,000	\$80,000	Assignment
\$95,000	\$75,000	\$90,000	\$40,000	\$20,000	Remaining Authority
95%	75%	90%	40%	20%	Remaining Auth. (%)

Order of Assignments - continued

					
5	4	3	2	junnah	Assignment Order
A	В	D	С	H	Firm
\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	Authority
\$80,000	\$60,000	\$25,000	\$10,000	\$5,000	Assignment
\$20,000	\$40,000	\$75,000	\$90,000	\$95,000	Remaining Authority
20%	40%	75%	90%	95%	Remaining Auth. (%)

Fee Proposal Guidelines

- Engineering Rotation List (PA110000043). Include brief summary of proposal Cover letter: reference PSA Name and Number, e.g. 2011 Small Diameter Water and Wastewater Pipeline
- tee proposals from subconsultants employee classification, reimbursable expenses. Include compensation, breakdown of labor requirements by Fee Proposal: include scope of services, method of
- Subconsultant Utilization Form
- Resource Allocation Plan: list of tasks to be performed by phase with budget and schedule

Resource Allocation Plan (RAP)

ATTACHMENT 1: RESOURCE ALLOCATION PLAN - SAMPLE (ARC)

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APPROVED FORED CONSTRUCTION BUDGET:

Sub-consultant Utilization Form (SUF)

Verifies that sub-consultants identified in original/amended Compliance Plan are being

utilized

- Must submit with Acceptable Proposal
- RLM will forward to SMBR for review at beginning of assignment.

Subconsultant Utilization Form

Contract and Land Management Contract Procurement Division

Date:Submitted by:	Assignment # / Proposal Request #:/	Rotation List Name/#:/ Proj
Firm:	***************************************	Project Name:
		Project Manager:

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MBE/WBE PARTICIPATION

Please calculate participation percentages for each category, based upon the total dollar amount for certified firms in the specified category divided by the Total Amount of the assignment.

Compliance Plan	This Assignment	
 *	%	NON-Certified
***************************************	%	African American
***************************************	%	Hispanic
%	%	Asian/ Native American
%	 %	MBE
%	%	WBE

Contract and Land Management, 505 Barton Springs Road, Suite 1045, Austin, TX 78704; Tel.: (512) 974-7181

Project Manager: Date:	FOR COA USE ONLY: I have reviewed the consultant utilization and MBE/WBE participation for this assignment. A copy of this form will be forwarded to the appropriate SMBR representative.	Firm Representative: Date:	I certify that the information listed above has been reviewed and is accurate to the best of my knowledge.	Please provide an explanation for any categories where participation for this assignment is less than the approved Compliance Plan percentages:	V 1.2 Lear Updated 6/22/09
Date:	nd MBE/WBE participation for this assignment. A copy of this form will be forwarded to the appropriate SMBR	Date:	ove has been reviewed and is accurate to the best of my knowledge.		

Notice To Proceed

- following the receipt of an Acceptable The formal processing of the NTP will begin Proposal (Attachment 2)
- A NTP must have an assigned Delivery Order (D.O.) number.

ATTACHMENT 2

DATE:	ASSIGN	ASSIGNMENT NO.:	<u>o</u> :	PROPOSAL REQUEST NO.:	EQUEST	Ö.:	
MASTER AGREEMENT:	GREEMEN	:	CONTRACT NUMBER (DO):	UMBER (DO): _			
Fund:	Dept:	Unit:	Object Code:	Activity:	Rept:	Percentage:	
Fund:	Dept:	Unit:	Object Code:	Activity:	Rept:	Percentage:	major or constant research
Fund:	Dept:	Unit:	Object Code:	Activity:	Rept:	Percentage:	
TO: CON	CONSULTANT:						
FROM:	OWNER:		Rotation List Manager: Project Manager / Department: / Contract Procurement Division Contract and Land Management Department City of Austin P.O. Box 1088 P.O. Box 1088	er: epartment: nt Division Management Dep	/ partment		
The CONSI	ULTANT PR	OPOSA	The CONSULTANT PROPOSAL is for the following PROJECT assignment:	ing PROJECT as	ssignment	••	
SUBPROJECT NAME:	CT NAME:						
SUBPROJECT DESCRIPTION:	SUBPROJECT DESCR	RIPTION:	·				
SUBPROJE	CT FIXED	CONSTR	SUBPROJECT FIXED CONSTRUCTION BUDGET (RE: Section 3):	ET (RE: Section	3):	Dollars (\$	$\overline{}$

Page 1 of 3

(continued on next page)

PHASES OF SERVICE AND RESOURCE ALLOCATION PLAN REQUIRED FOR BASIC SERVICES (RE: Sections 1 & 4):

(continued on next page)	Cost Plus Fixed Fee: Complete Attachment 4	Loaded Hourly Rafe: Complete Attachment 3	Preliminary Phase: Design Phase: Bid-Award-Execution Phase: Construction Phase: Post Construction Phase*: Post Construction Phase*: Post Construction Phase Construction Phase [* normally 6% percent of the Construction Phase compensation]	Lump Sum: Payments for Basic Services shall be made such that Basic Compensation for each Phase shall equal the following percentages of the total Basic Compensation payable:	□ Lump Sum □ Loaded Hourly Rate □ Cost Plus Fixed Fee	OTHER BASIC SERVICES: Reference Attachments:	Construction Phase Construction Time Extensions (RE: Par. 1.4.4.1): Required Construction Time Extensions (RE: Par. 1.4.4.1): Required of Days Resident PROJECT Representative (RE: Par. 1.4.4.14) Required Post Construction Phase Post Construction Phase Required Not Required Warranty Services Allowance (RE: Par. 1.4.5.6): Number of Hours	Bid-Award-Execution Phase	Design Phase The CONSULTANT shall commence the provision of services upon receipt of written authorization from the OWNER to proceed with this phase of the services as described in Subsection 1.4.2 of this AGREEMENT and agrees to complete all services required in () calendar days.	Preliminary Phase The CONSULTANT shall commence the provision of services upon receipt of written authorization from the OWNER to proceed with this phase of the services as described in Subsection 1.4.1 of this AGREEMENT and agrees to complete all services required in () calendar days.	
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Page 2 of 3

CONSULTANT PROPOSAL

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Basic Services

Allowance for Reimbursable Expenses TOTAL

Required Resource Allocation Plan (Sec. 4) is included as Attachment 1

Reference Other Attachments:

Signature: CONSULTANT

DATE

NOTICE TO PROCEED

When executed by the OWNER in the space provided below, and delivered to the CONSULTANT, the CONSULTANT is authorized to proceed with work as described in the PROPOSAL REQUEST, for the amount indicated above, in accordance with the contract referenced above and hereby incorporated herein.

NOTE: The Quality Control Plan (QCP) is to be submitted to the Project Manager no later than 14 calendar days from the date below.

OWNER:

BY: Rotation List Manager Contract Procurement Division

DATE

, Project Manager

8

9

80% Rotation List Rules

Rules might be used Towards the end of each Rotation List: 2 - 80%

- any open assignments All previous assignments must be **#1.** When 80% of an <u>individual firm's total authority</u> has been used, no new assignments will be made if there are completed before additional assignments can be offered.
- #2. When 80% of the total Rotation List authority has been a tirms remaining authority. used, the RLM may make assignments out of the usual methodology in the best interest of the City by re-allocating

Quality Control Plan (QCP)

- Quality Control Plan (QPC) to Jay Ulary Master QCP - All Consultants have 14 calendar days from the execution date of their contract to submit a Master
- QCP to the Project Manager and Jay Ulary. the Notice to Proceed to submit an assignment specific Assignment specific QCP - For each assignment a Consultant has 14 calendar days from the date shown on

Unauthorized Work

- notice to proceed (NTP) No work shall be authorized prior to receipt of a formal
- NTP. additional or subsequent phase work prior to the formal Project Managers do not have the authority to authorize

Unauthorized Work - continued

- without formal authorization, it will be documented in a letter to such work. If a PM becomes aware that a Consultant is working solely at their own risk and may or may not receive payment for the NTP and/or outside of their scope and budget are doing so of the contractual agreement. the Consultant advising them that they are working at risk outside Consultants who choose on their own to perform work ahead of
- the Consultant to proceed formal written notice to proceed by the Owner which authorizes Section 6 of the General Conditions in the City's standard requirements for subsequent written authorizations and the Professional Services Agreement (PSA) outlines the

Evaluation Form (CPEF) Consultant Performance

After sending the NTP the RLM will prepare a CPEF and forward it to the PM for evaluating the scores will be stored in a database for use in Consultants performance at the end of each phase of the project. At the end of the project, the Project future RFQ evaluations (Consideration Item #9 – to Contract Monitoring. They will notify the Consultant of the CPEF final results and the Manager is required to submit the completed form COA Experience with the Prime).

Rotation List Management Procedures

More information and forms are available at the CMD Rotation List Program website:

http://www.austintexas.gov/department/rotation-list-management

- Guidelines for Fee Proposals
- Rotation List Contact Sheet
- Subconsultant Utilization Form
- SubK Report Template
- Consultant Personnel Change Form
- Request for Change of Compliance Plan
- Rotation List Management Consultant Information Session

Overview and Opportunities

For Upcoming Rotation List Opportunities go to Vendor Connection and select Solicitations

ection/index.ctm https://www.ci.austin.tx.us/financeonline/vendor_conn

Contact Information

- 9186) Barbara Kuhl – Division Manager (974-
- Rolando Fernandez Assistant Director (974-7749)
- Rosie Truelove Director (974-3064)

Questions?

PROCURE PROFESSIONAL SERVICES OPERATIONAL OVERVIEW - USING ROTATION LISTS TO

The Contract Management Department is responsible for procuring, maintaining and managing rotation lists. Rotation lists have been created in order to always have a group of qualified consultants available to perform specific types of recurring work and allow for the expedited selection of a consultant to meet the needs of our client departments. Firms are selected through the Request for needs of our client departments. Firms are selected through the Request for Oualifications (RFQ) process. Current rotation lists maintained by the Rotation List Aanagement Team include civil engineering, structural engineering, environmental engineering, mechanical, electrical, plumbing, materials testing, and many others.

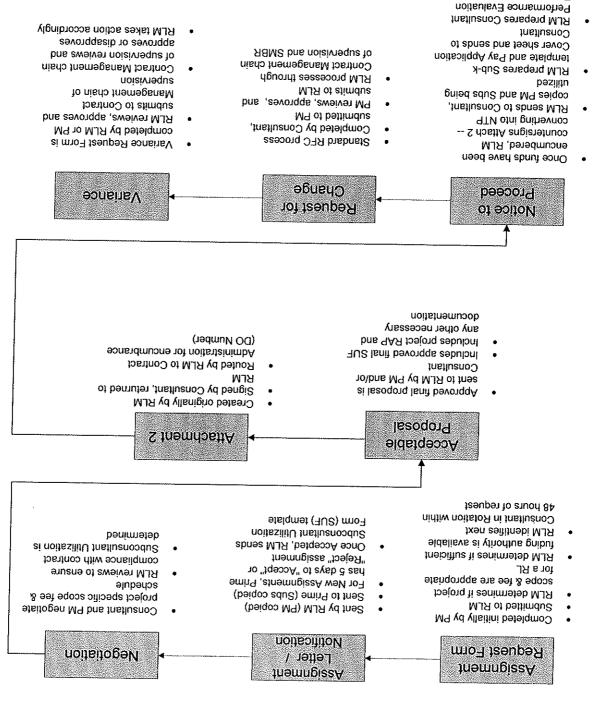
When a Project Manager (PM) needs a particular type of consultant, the PM contacts the rotation list manager (RLM) of the appropriate RL for assignment of the next firm in rotation. Using a RL allows a project to move forward in an expedited manner and avoid the additional time and expense it would take to go through the entire RFQ process to hire a consultant for each individual project. The Rotation List Work Flow diagram is depicted on the back of this page.

Role of the Rotation List Management Team

- Implement effective mechanisms for managing rotation lists.
- Ensure consistency in assignment processes across all rotation lists.
- Adhere to authorization limits, with exceptions approved and documented.
- Utilize consistent forms, data and reporting to manage rotation lists.
- Properly maintain rotation list data.
- Appropriately document rotation list manager decision making.
- Maintain a primary focus on MBE/WBE compliance.
- Respond promptly and effectively to stakeholder needs.
- Partner with the sponsor departments and rotation list consultants to deliver quality projects as described in the CLMD Good Partner initiatives.

Rotation List Management Mork Flow

2011 Version



Template and sends to PM

Rotation List Process

Quick & Easy Reference Guide

- Rotation lists offer the opportunity for C.O.A. project managers to get their projects launched more quickly than by using a traditional stand-alone contract.
 This is because all prime firms on a rotation list are already under contract with a fully executed master agreement in place. No need to solicit or go to Council.
 To initiate an assignment on a rotation list, the City project manager will submit to the RLM (rotation list manager) a fully completed ARF (assignment request form). The RLM will provide the PM with a link to the most current version of form). The RLM will provide the PM with a link to the most current version of
- Upon receipt of the ARE, the RLM will send out an assignment letter to the firm whose turn is next on the rotation list. The order on the first go round, or "Pass", is determined by each firms' ranking which is based on a scoring matrix as a part of the qualifications based selection process. All subsequent Pass orders are determined by how much dollar authority a firm has remaining. For instance, if a firm received a large dollar assignment on the first pass, they will most likely end up towards the bottom of the next pass because they have less remaining authority than a firm who only received a small dollar assignment on the first pass. Upon assignment acceptance by the prime firm, they will contact the City PM
- (contact info provided in the assignment letter). They work together to develop and negotiate an acceptable proposal. The City PM is responsible for approving the technical aspects of the proposal and the RLM is responsible for ensuring all contractual matters and proposal guidelines are met.
- At this point, the RLM will send an MOU (Memorandum of Understanding) internally to the City sponsor and fund manager. This is to pay Contract Management for their services (Note: MOU's will no longer be used starting in FY 2013).
- Simultaneously, the RLM will send an Attachment 2 document to the prime firm for their review and signature. The Attachment 2 document is a mini-contract that captures all the key points of the proposal so that both parties are in agreement on what is expected.
- Once the RLM receives the signed Attachment 2 back from the prime firm, they will submit it to our financial department who have up to five business days to generate the encumbrance for the agreed upon dollar amount of the assignment. The encumbrance is known as the "DO" (delivery order) number.
- When the RLM receives the DO back from the financial department, they sign the send out along with the following documents:
- 1. the AIMS printout of the DO number
- 2. the signed Attachment 2/NTP document

- 3. the proposal which includes: a cover letter with the RL name and number, RAP, SUF, all subconsultant proposals, schedule, scope, fee, hourly rates, payment method, and listing of key personnel
- 4. an invoice cover sheet (i.e. pay app)
- 5. a SubK report which will show MBE/WBE participation as the project progresses (the SUF Subconsultant Utilization Form which is part of the proposal, will show at the beginning of the assignment how much MBE/WBE participation is promised, and the monthly SubK report which is submitted with each invoice tracks it to make sure the commitments are kept)

Notes

- The City PM is responsible for approving all invoices
- All rotation list assignments, both new and subsequent, must go through the RLM. City PM's are not to initiate or authorize any work without consulting the RLM.
- No work will be authorized without the issuance of the official NTP by the RLM.

Invoicing Requirements

per Section 5 of the Professional Services Agreement The invoice package should include the following items, or as required

- your invoice
- your sub's invoices (for hourly assignments)
- all timesheets (as requested for hourly assignments)
- receipts for reimbursables
- the pay applicaver sheet
- the SubK report
- any other relevant documentation RAP (Resource Allocation Plan - Attachment 1)